

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Farber, Richard Jay**

Senior Advisor, Department of the Treasury

Date of Appointment: 08/20/2018

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Farber, Richard Jay [electronically signed on 11/01/2018 by Farber, Richard Jay in Integrity.gov] - Filer received a 47 day filing extension.**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

**/s/ Horton, Elizabeth A, Certifying Official [electronically signed on 12/13/2018 by Horton, Elizabeth A in Integrity.gov]**

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Other review conducted by

**/s/ Veras, Hanoi, Ethics Official [electronically signed on 12/13/2018 by Veras, Hanoi in Integrity.gov]**

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U.S. Office of Government Ethics Certification

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Data Revised 12/13/2018

Data Revised 12/12/2018

Data Revised 12/03/2018

Data Revised 11/09/2018

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO	
1	UCLA Anderson Fink Center for Finance	Los Angeles, California	University/College	Member of Advisory Board	6/2013	8/2018	
2	American Diabetes Association	Alexandria, Virginia	Non-Profit	Chair of Audit committee	1/2018	8/2018	
3	Lightening in a Bottle Productions	Pacific Palisades, California	Corporation	Chief Financial Officer	4/2017	8/2018	
4	Maccabi USA	Philadelphia, Pennsylvania	Non-Profit	Executive Board	1/2012	8/2018	
5	Estate of Florence Bonnett	See Endnote	Chevy Chase, Maryland	Estate	Executor	8/2016	Present
6	American Diabetes Association	Alexandria, Virginia	Non-Profit	Chair of Investment Subcommittee	1/2012	8/2018	
7	American Diabetes Association	Alexandria, Virginia	Non-Profit	Member of Executive Compensation Committee	1/2018	8/2018	
8	DLF UTMA	Pacific Palisades, California	Trust	Custodian	3/1996	Present	
9	ALF UTMA	Pacific Palisades, California	Trust	Custodian	11/1993	Present	
10	Sledgehammer Enterprises LLC	Los Angeles, California	Corporation	Manager	6/2017	8/2018	
11	Jewish Graduate Student Initiative	Los Angeles, California	Non-Profit	Advisory Board	2/2016	8/2018	

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Kehillat Israel Synagogue	Pacific Palisades, California	Non-Profit	Finance Committee Member	7/2016	8/2018

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1				
1.1	FIDELITY GOVERNMENT MONEY MARKET (SPAXX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.2	BLACKSTONE GSO STRATEGIC CR FD COM (BGB)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.3	DOLBY LABORATORIES INC COM (DLB)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
1.4	FIRST TR HIGH INCOME LONG SHORT FD DBI (FSD)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.5	ROCKET PHARMACEUTICALS INC COM (RCKT)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.6	SOLAR CAP LTD COM (SLRC)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
1.7	KAYNE ANDERSON REAL ESTATE DEBT LP	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.8	GLACIER WATER TRUST (GWSVP)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
2	IRA #2				
2.1	TREMONT MORTGAGE TRUST (TRMT)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	HPS MEZZANINE PRIVATE INVESTORS III LP OFFSHORE	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	US BANK ACCOUNT (CASH)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
2.4	BLACKSTONE/GSO STRATEGIC CREDIT FUND	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3	LIGHTENING IN A BOTTLE PROFIT SHARING PLAN				
3.1	FIDELITY GOVERNMENT MONEY MARKET (SPAXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.2	VANGUARD WHITEHALL FUNDS INTERNATIONAL (VIGI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	SPDR SERIES TRUST BLOOMBERG BRCLYS (JNK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4	KA ASSOCIATES INVESTMENT ACCOUNT				
4.1	US BANK ACCOUNT #2 (CASH)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.2	FIDELITY GOVERNMENT CASH RESERVES (FDRXX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
4.3	KAYNE ANDERSN MLP MIDS INVT CO COM (KYN)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.4	PRIMO WATER CORP COM (PRMW)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5	KAYNE NEWROAD VENTURES FUND II, LP	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	KAYNE ANDERSON ENERGY FUND III (QP), L.P.	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	KAYNE ANDERSON ENERGY FUND V (QP), L.P.	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	KAYNE ANDERSON ENERGY FUND VI, L.P.	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
9	KAYNE PARTNERS FUND III (QP), L.P.	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
10	KAYNE ANDERSON CAPITAL INCOME PARTNERS (QP), LP	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
11	KAYNE ANDERSON MLP FUND, L.P.	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
12	KAYNE ANDERSON REAL ESTATE DEBT, L.P.	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
13	KAYNE ANDERSON REAL ESTATE DEBT II, L.P.	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
14	KAYNE ANDERSON REAL ESTATE PARTNER V	Yes	\$250,001 - \$500,000		None (or less than \$201)
15	LEHMAN BROTHERS HOLDING INC., DEFINED BENEFIT PLAN (ADMINISTERED BY PBGC) (VALUE NOT READILY ASCERTAINABLE)	N/A			None (or less than \$201)
16	Kayne Anderson Capital Advisors, L.P., partnership fixed payout (remainder of underlying assets not readily ascertainable)	No	\$5,000,001 - \$25,000,000	Distribution	\$143,697
16.1	Kayne NewRoad Ventures Fund, II, LP	Yes			
16.2	Kayne Anderson Energy Fund III (QP), L.P.	Yes			
16.3	Kayne Anderson Energy Fund V (QP), L.P.	Yes			
16.4	Kayne Anderson Energy Fund VI, L.P.	Yes			
16.5	Kayne Partners Fund III (QP), L.P.	Yes			
16.6	Kayne Anderson Capital Income Partners (QP), L.P.	Yes			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.7	Kayne Anderson MLP Fund, L.P.	Yes			
16.8	Kayne Anderson Real Estate Debt, L.P.	Yes			
16.9	Kayne Anderson Real Estate Debt II, L.P.	Yes			
16.10	Kayne Anderson Real Estate Partner V	Yes			
16.11	KAFU Holdings (QP), L.P.	Yes			
17	LIGHTENING IN A BOTTLE PRODUCTIONS (FILM PRODUCTION COMPANY)	N/A		Salary	\$152,000
18	KAFU HOLDINGS (QP), L.P.	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
19	KA Associates, Inc. (Kayne Anderson broker dealer)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Kayne Anderson Capital Partners, L.P.	Los Angeles, California	Pursuant to the terms of the partnership agreement, I receive a yearly partnership distribution.	6/1995
2	Lightening in a Bottle Productions	Pacific Palisades, California	I will continue to participate in the profit sharing plan.	4/2017

### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Lightening in a Bottle Productions	Pacific Palisades, California	CFO of company

## 5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA #1				
1.1	ARES COMMERCIAL REAL EST CORP (ACRE)	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
1.2	WILLIAMS CO INC (WMB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3	FIRST TR DOW JONES STOXX EUR (FDD)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.4	ISHARES US REAL ESTATE ETF (IYR)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.5	ISHARES GLOBAL HIGH YIELD CORP BOND ETF (GHYG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2	PRODUCER-WRITERS GUILD OF AMERICA, DEFINED BENEFIT PLAN (VALUE NOT READILY DETERMINABLE)	N/A			None (or less than \$201)
3	LIGHTENING IN A BOTTLE PRODUCTIONS (FILM PRODUCTION COMPANY)	N/A		Salary	

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	BANK ACCOUNT #1				
1.1	US BANK ACCOUNT #12 (CASH)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	Blackstone Re Debt II LP (Real Estate)	Yes	\$100,001 - \$250,000		\$100,001 - \$1,000,000
1.3	Blackstone Re Debt II LP DPV (Real Estate)	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
2	TRUST #1				
2.1	ACTIVE ASSETS ACCOUNT				
2.1.1	US BANK ACCOUNT #13 (CASH)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
2.1.2	US BANK ACCOUNT #14 (CASH)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2.1.3	ALIBABA GROUP HLDG LTD (BABA)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.1.4	BOINGO WIRELESS INC COM (WIFI)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
2.1.5	CHESAPEAKE ENERGY CORP (CHK)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.1.6	CNX RESOURC CORP (CNX)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
2.1.7	ENTERPRISE PRODUCTS PARTNERS L.P. (EPD)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.1.8	MGM GROWTH PROPERTIES LLC CL A (MGP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
2.1.9	ZOETIS INC CLASS-A (ZTS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.1.10	BARCLAYS BANK PLC 8.125% ADR (BCS.D)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
2.1.11	US BANCORP	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1.12	ALLIANZ NFJ DIVID INT (NFJ)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.1.13	BLACKROCK CORP HGH YLD FD INC (HYT)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2.1.14	BLACKROCK MUNIHL DNG CA QUAL FD (MUC)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.1.15	FIRST TRUST HIGH INC LONG/SHOR (FSD)	Yes	\$250,001 - \$500,000		\$50,001 - \$100,000
2.1.16	ISHARES RUSSELL 3000 ETF (IWM)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.1.17	PUTNAM MANAGED MUNI INCOME TR (PMM)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
2.1.18	STATE OF CALIFORNIA, BONDS	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
2.1.19	GENERAL ELECTRIC, BONDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
2.1.20	UNITED STATES TREASURY BILL	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2.1.21	INVESCO CONVERT SECURITIES A (CNSAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.1.22	STATE OF CALIFORNIA, BONDS	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
2.1.23	SUNTRUST BANKS (STI.E)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
2.1.24	TWITTER INC (TWTR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3	BROKERAGE ACCOUNT #1				
3.1	US BANK ACCOUNT #15 (CASH)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	FIDELITY GOVERNMENT MONEY MARKET (SPAXX)	Yes	\$1,000,001 - \$5,000,000		\$201 - \$1,000
3.3	FIDELITY SELECT HEALTH CARE (FSPHX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
3.4	FIDELITY SELECT PHARMACEUTICAL (FPHAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.5	ENSCO PLC (ESV)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$15,001 - \$50,000
3.6	NABORS INDUSTRIES LTD SHS(NBR)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
3.7	ACHILLION PHARMACEUTICALS INC (ACHN)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.8	BLACKROCK MUNIHOLDINGS CALIF (MUC)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
3.9	BLACKROCK MUNIYIELD CALIF QUALITY FD (MCA)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
3.10	CORINDUS VASCULAR ROBOTICS IN CCOM (CVRS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.11	EATON VANCE CALIF MUNICIPAL BOND FUND (EVM)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
3.12	INVESCO VAN KAMPEN MUN INC TR COM (VCV)	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
3.13	NUVEEN CA QUALITY MUN INCOME FD COM (NAC)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
3.14	OCH-ZIFF CAP MGMT GROUP CL A SHS (OZM)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
3.15	OCWEN FINL CORP COM NEW (OCN)	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.16	ROCKET PHARMACEUTICALS INC (RCKT)	N/A	\$100,001 - \$250,000	Capital Gains	\$100,001 - \$1,000,000
3.17	TRI POINTE GROUP INC COM (TPH)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
3.18	TRAVELCENTERS AMER LLC COM (TA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.19	ISHARES MSCI BRAZIL ETF (EWZ)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.20	ISHARES TR 20 YR TR BD ETF (TLT)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
3.21	BARCLAYS BANK PLC IPATH BLOOMBERG (JJCTF) OPEN SHORT POSITION: 100 SHARES AT \$30	N/A			None (or less than \$201)
3.22	AMC NETWORKS INC COM USD0.01 CL A (AMCX)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.23	ADAMIS PHARMACEUTICALS CORP (ADMP)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.24	ALASKA AIR GROUP INC (ALK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
3.25	ALIBABA GROUP HLDG LTD (BABA)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.26	ALLIANCE CALIF MUN INCOME FD COM (AKP)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.27	ALTISOURCE ASSET MGMT CORP COM (AAMC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
3.28	BAUSCH HEALTH COMPANIES INC COM (BHC)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.29	BEST BUY INC (BBY)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.30	CVS HEALTH CORP COM (CVS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
3.31	CBS CORP NEW CL B (CBS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.32	CELLECTIS ADS EACH REPR 1 ORD SPON (CLLS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.33	CLEVELAND CLIFFS INC COM (CLF)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.34	ESPERION THERAPEUTICS COM (ESPR) OPEN SHORT POSITION: 100 SHARES AT \$43	N/A		Capital Gains	\$15,001 - \$50,000
3.35	HILTON WORLDWIDE HLDGS INC (HLT) OPEN SHORT POSITION: 100 SHARES AT \$77	N/A		Capital Gains	\$2,501 - \$5,000
3.36	MACYS INC COM (M)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
3.37	MARRIOTT INTL INC CL A (MAR) OPEN SHORT POSITION: 1,000 SHARES AT \$121	N/A			None (or less than \$201)
3.38	NATERA INC COM (NTRA)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.39	NUVEEN CALIFORNIA AMT QLT MUN COM (NKX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
3.40	NUVEEN CREDIT STRATEGIES INCOME (JQC)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.41	QUALCOMM INC (QCOM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
3.42	UNITED STATES NATL GAS FUND LP UNIT PAR (UNG)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.43	UNITED STATES OIL FUND LP UNITS (USO) OPEN SHORT POSITION: 100 SHARES AT \$16	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.44	CALL (CVS) CVS HEALTH CORP	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.45	CALL (DM) DOMINION ENERGY	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.46	CALL (EWZ) ISHARES MSCI BRAZIL	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.47	PUT (SPY) SPDR S&P 500 ETF	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.48	CALL (UNG) UNITED STATES NATL GAS	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.49	ADVANCE AUTO PARTS INC COM, (AAP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
3.50	CALL (CLF) CLEVELAND CLIFFS INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.51	CALL (APRN) BLUE APRON HLDGS INC CL A	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.52	CALL (FXI) ISHARES FTSE/XINHUA CHINA 25 INDEX	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.53	CALL (K) KELLOG COMPANY	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.54	CALL (KITE) KITE PHARMA INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.55	CALL (LPI) LAREDO PETROLEUM, INC.	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.56	CALL (LULU) LULULEMON ATHLETICA INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.57	CALL (M) MACYS INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.58	CALL (QQQ) INVESCO QQQ TRUST	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.59	CALL (SRPT) SAREPTA THERAPEUTICS INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.60	CALL (TLT) ISHARES TR 20 YR TR BD ETF	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.61	CALL (USO) UNITED STATES OIL FUND LP UNITS	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.62	CALL (UUP) POWERSHARES DB US DOLLAR INDEX BULLISH FD	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.63	CALL (VIAB) VIACOM INC NEW CL B	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.64	CALL BAUSCH HEALTH COMPANIES INC (VRX)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.65	ECLIPSE RES CORP COM (ECR)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.66	EDITAS MEDICINE INC COM (EDIT)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.67	INOTEK PHARMACEUTICALS CORP COM (ITEK)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.68	INTELLIA THERAPEUTICS INC COM (NTLA)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.69	ISHARES MSCI MEXICO CAPPED INVESTABLE MA (EWW)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.70	ISHARES TR IBOXX HI YD ETF (HYG)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.71	JETBLUE AIRWAYS CORPORATION (JBLU)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.72	KOHL'S CORP COM (KSS)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.73	LAREDO PETROLEUM INC COM (LPI)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.74	PUT (CLF) CLEVELAND CLIFFS INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.75	PUT (ALK) ALASKA AIR GROUP INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.76	PUT (CBS) CBS CORP NEW CL B	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
3.77	PUT (DKS) DICKS SPORTING GOODS INC	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
3.78	PUT (EWW) ISHARES MSCI MEXICO CAPPED INVESTABLE MA	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.79	PUT (EWZ) ISHARES MSCI BRAZIL	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.80	PUT (JWN) NORDSTROM, INC.	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.81	PUT (KITE) KITE PHARMA INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.82	PUT (KSS) KOHL'S CORP COM	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.83	PUT (QQQ) INVESCO QQQ TRUST	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.84	PUT (SHLD) SEARS HLDGS CORP COM	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.85	PUT (SLV) ISHARES SILVER TR ISHARES	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.86	PUT (SWN) SOUTHWESTERN ENERGY CO	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
3.87	PUT (TLT) ISHARES TR 20 YR TR BD ETF	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.88	PUT BAUSCH HEALTH COMPANIES INC (VRX)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.89	PUT (WLL) WHITING PETE CORP NEW COM	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.90	PUT (XLF) FINANCIAL SELECT SECTOR SPDR ETF	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.91	SEARS HLDGS CORP COM (SHLD)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.92	VALEANT PHARMACEUTICALS INTLINC (VRX)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.93	VIACOM INC NEW CL B (VIAB)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
3.94	WHITING PETE CORP NEW COM (WLL)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.95	BP MIDSTREAM PARTNERS LP UNIT LTDPTNR (BPMP)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
3.96	ISHARES SILVER TR ISHARES (SLV)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.97	KKR & CO L P DEL COM UNITS (KKR)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.98	TOLL BROTHERS INC COM (TOL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.99	FIDELITY SELECT MATERIALS PORTFOLIO (FSDPX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.100	CALL (BHGE) BAKER HUGHES A GE COFEB	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.101	PUT (CVS) CVS HEALTH CORP	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.102	PUT (DM) DOMINION ENERGY	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.103	PUT (ESV) ENSCO PLC COM	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.104	CALL (F) FORD MTR CO DEL COM	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.105	PUT (NBR) NABORS INDUSTRIES	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
3.106	PUT (NBR) NABORS INDUSTRIES	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.107	PUT (NTLA) INTELLIA THERAPEUTICS INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.108	CALL (OIH) VANECK VECTORS ETF	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.109	CALL (RCKT) ROCKET PHARMACEUTICALS INC	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.110	PUT (RCKT) ROCKET PHARMACEUTICALS INC	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.111	CALL (SPY) SPDR S&P 500 ETF	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.112	PUT (UNG) UNITED STATES NATL GAS	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
3.113	CALL (URBN) URBAN OUTFITTERS INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.114	PUT (URBN) URBAN OUTFITTERS INC COM	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
3.115	CALL (VIX) CBOE MKT VOLATILITY	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.116	CALL (VXX) BARCLAYS BK PLC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.117	PUT (VXX) BARCLAYS BK PLC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.118	BARCLAYS BK PLC IPATH S&P 500 VIX SHORT TERM FUTURES ETN (VXX)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4	BROKERAGE ACCOUNT #2				
4.1	US MARGIN ACCOUNT #1 (CASH)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.2	US BROKERAGE ACCOUNT #4	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
4.3	ACHILLION PHARMACEUTICALS INC (ACHN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.4	BRISTOL MYERS SQUIBB COMPANY (BMY)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
4.5	CANADA GOOSE HOLDINGS INC SUB VTG (GOOS), OPEN SHORT POSITION: 3,000 SHARES AT \$61	N/A			None (or less than \$201)
4.6	FATE THERAPEUTICS INC (FATE)	N/A	\$250,001 - \$500,000		None (or less than \$201)
4.7	FIREEYE INC (FEYE)	N/A	\$250,001 - \$500,000	Capital Gains	\$15,001 - \$50,000
4.8	ROCKET PHARMACEUTICALS INC (RCKT)	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	CELLECTIS ROMAINVILLE SHS NOM (CMVLF)	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
4.10	MEIRAGTX HOLDINGS PLC (MGTX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.11	CALL BAUSCH HEALTH COS (BHC)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.12	SOLAR SENIOR CAPITAL LTD (SUNS)	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
4.13	SHELL MIDSTREAM PARTNERS LP (SHLX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
4.14	MONARCH CAPITAL PARTNERS III LP	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
4.15	NB STRATEGIC CO INVESTMENT PARTNERS III B LP	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
4.16	DOVA PHARMACEUTICALS INC (DOVA)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.17	VERRICA PHARMACEUTICALS INC (VRCA)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4.18	UNITED STATES OIL FUND LTD PARTNERSHIP (USO)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.19	CALL QUALCOMM INC (QCOM)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.20	GENERAL MILLS INC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
4.21	TENCENT HOLDINGS LTD (TCEHY)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
4.22	OUTFRONT MEDIA INC (OUT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.23	RAPID7 INC (RPD)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4.24	ARSANIS INC (ASNS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.25	BP MIDSTREAM PARTNERS LP (BPMP)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.26	BARCLAYS PLC ADR (BCS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
4.27	COMMERCEHUB INC C (CHUBK)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4.28	COMMERCEHUB INC A (CHUBA)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.29	CREDIT SUISSE GRP SP ADR (CS)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
4.30	FT VII GLB TACTICAL ETF (FTGC)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.31	SMART GLOBAL HLDGS INC (SGH)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.32	SOUTHWESTERN ENERGY CO (SWN)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4.33	CALL BRISTOL MYERS SQUIBB COMPANY (BMY)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.34	PUT BRISTOL MYERS SQUIBB COMPANY (BMY)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.35	CALL FIREEYE INC (FEYE)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.36	CALL ALERIAN MLP ETF (AMLPL)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5	BROKERAGE ACCOUNT #3				

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	FOUNDATION MEDICINE INC (FMI)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
5.2	JETBLUE AIRWAYS CORP (JBLU)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
5.3	KKR & CO INC COM NPV-CL A (KKR)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
5.4	PLAINS ALL AMERICAN PIPELINE LP (PAA)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
5.5	TWITTER INC (TWTR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
5.6	ZSCALER INC (ZS)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
5.7	AILERON THERAPEUTICS INC (ALRN)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.8	BOSTON PRIVATE FINL HOLDINGS INC (BPFH)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.9	CAMPING WORLD HOLDINGS INC-A (CWH)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
5.10	DICERNA PHARMACEUTICALS INC (DRNA)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.11	FRESHPET INC (FRPT)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.12	PTC THERAPEUTICS INC (PTCT)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
5.13	SWITCH INC - A (SWCH)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
5.14	TOCAGEN INC (TOCA)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.15	VIVEVE MEDICAL INC (VIVE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.16	WISDOMTREE INVESTMENTS INC (WETF)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.17	AIA GROUP LTD (HKD)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
5.18	BELMOND LTD-CLASS A (BEL)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.19	ROCHE HOLDING LTD-SPONS ADR (RHHB Y)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
5.20	CHARLES SCHWAB CORP (BBB /BAA)	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
5.21	MACKAY MUNICIPAL STRATEGIC OPPORTUNITIES FUND, L.P.	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
5.22	DFJ GROWTH 2013 PRIVATE INVESTORS, LLC CLASS A	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
5.23	GIF V PRIVATE INVESTORS ONSHORE LLC	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.24	SVSS IV PRIVATE INVESTORS, LLC	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.25	WARBURG PINCUS ENERGY PRIVATE INVESTORS ONSHORE, LLC	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
5.26	FOREST CITY REALTY TRUST-A	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
5.27	DOMINION ENERGY MIDSTREAM PARTNERS, LP	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.28	ISHARES SILVER TRUST (SLV)	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.29	BLACKROCK CORPORATE HIGH YIELD FUND	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.30	PUERTO RICO, BONDS	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
5.31	TRI POINTE HOMES INC	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.32	JPM TR I TAX FREE RESERVE SWEEP FD	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
5.33	GOLAR LNG LTD (GLNG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
5.34	WAVE LIFE SCIENCES PTE LTD (WVE)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
5.35	TRIUMPH GROUP INC (TGI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
5.36	AMC NETWORKS INC-A (AMCX)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
5.37	IPATH BLOOMBERG COFFEE SUBINDEX TOTAL RETURN ETN (JJOFF)	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
5.38	BLUEBIRD BIO INC (BLUE)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
5.39	FOUNDATION MEDICINE INC (FMI)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
5.40	FORTRESS INVESTMENTS GRP (FIG)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
5.41	MORGAN STANLEY (MS PRI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
5.42	FERRARI NV - W/I (RACE)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.43	TOLL BROTHERS (TOL)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5.44	JPMORGAN CHASE & CO BONDS	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6	BANK ACCOUNT #2 (CASH)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
7	BANK ACCOUNT #3 (CASH)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
8	BANK ACCOUNT #4 (MONEY MARKET ACCOUNT)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
9	CAPTIVE8 (online advertising and data analysis for social media)	N/A	\$50,001 - \$100,000		None (or less than \$201)
10	BANK ACCOUNT #5				
10.1	CASH	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
10.2	BLACKROCK LIQUIDITY (TMCXX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11	IRREVOCABLE INSURANCE TRUST				
11.1	NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE POLICY	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
12	BANK ACCOUNT #6 (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
13	BANK ACCOUNT #7 (CASH)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
14	BANK ACCOUNT #8 (CASH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
15	BANK ACCOUNT #9 (CASH)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	BANK ACCOUNT #10 (CASH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	BANK ACCOUNT #11 (CASH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
18	RTW ONSHORE FUND ONE, LP	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
19	RILEY INVESTMENT PARTNERS TRUST, A L.P. LIQUIDATING TRUST (Value not readily available)	N/A		Capital Gains	\$5,001 - \$15,000
20	FORTRESS INVESTMENT GROUP LLC (INVESTMENT MANAGEMENT)	N/A	None (or less than \$1,001)	Distribution	\$1,800
21	QUALCOMM Incorporated (QCOM)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
22	PUT SOUTHWESTERN ENERGY COMPANY (SWN)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
23	SOUTHWESTERN ENERGY COMPANY (SWN)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
24	US OIL FUND (USO)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
25	CITIGROUP PREFERRED STOCK	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
26	Dow Jones ETF	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
27	FIRST TRUST HIGH INCOME LONG/SHORT FUND (FSD)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
28	First Trust High Income Long/Short Fund (FSD)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
29	MOBILEYE NV (MBLY) (IMAGE SENSING AND PROCESSING TECHNOLOGY FOR AUTOMOTIVE APPLICATIONS)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	SOLAR CAPITAL LTD. (SLRC)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
31	CALIFORNIA STATE GENERAL OBLIGATION BOND	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
32	OUTFRONT MEDIA (OUT) (FRACTIONAL SHARE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
33	GLACIER WATER TR (GWSV) (WATER DISPENSING COMPANY)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

## 7. Transactions

(N/A) - Not required for this type of report

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Kayne Anderson Energy Fund VI, LP	Capital Call	\$250,001 - \$500,000	2012	N/A	On Demand
2	Kayne Anderson Real Estate Debt II, LP	Capital Call	\$250,001 - \$500,000	2017	N/A	On Demand
3	Kayne Anderson Real Estate Partners V, LP	Capital Call	\$1,000,001 - \$5,000,000	2018	N/A	On Demand
4	Kayne Newroad Ventures Fund II, LP	Capital Call	\$100,001 - \$250,000	2016	N/A	On Demand
5	Kayne Partners Fund III, LP	Capital Call	\$50,001 - \$100,000	2016	N/A	On Demand

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
6	GIF V (Gavea)	Capital Call	\$50,001 - \$100,000	2014	N/A	On Demand
7	WP Energy (Warburg)	Capital Call	\$250,001 - \$500,000	2014	N/A	On Demand
8	DFJ Growth	Capital Call	\$15,001 - \$50,000	2013	N/A	On Demand
9	Strategic Value (SVSS)	Capital Call	\$500,001 - \$1,000,000	2018	N/A	On Demand
10	NB Co-invest (Neuberger)	Capital Call	\$250,001 - \$500,000	2015	N/A	On Demand

## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

## Endnotes

PART	#	ENDNOTE
1.	5	Waiting for IRS to approve tax filings to close out estate and distribute to beneficiaries

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### **4. Filer's Sources of Compensation Exceeding \$5,000 in a Year**

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### **7. Transactions**

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## **8. Liabilities**

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## **9. Gifts and Travel Reimbursements**

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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